

**PAPERWORK REDUCTION ACT
DOC/NOAA/NMFS SURVEY CLEARANCE FORM
Economic Surveys for U.S. Commercial Fisheries
OMB CONTROL NUMBER 0648-0369**

This form should be used if you are submitting a collection of information for approval under the NOAA customer survey clearance assigned OMB control number 0648-0369. E-mail this form, full Supporting Statement (including Part B), the collection instrument, and any additional documentation to:

Rita.Curtis@noaa.gov

If the collection does not satisfy the requirements of the program clearance, you should follow the regular PRA clearance procedures described in 5 CFR 1320.

NOAA Subagency _____

Title (Please be specific) _____

Burden Hour Estimates

Number of respondents _____

Total Burden Hours _____

Hours per response _____

Cumulative Burden Hours
under Program Clearance _____

Agency Contact (*person who can best answer questions about the content of the submission*)

Name _____

Phone _____

Certification: The collection of information requested by this submission meets the requirement of the OMB approval for OMB control number 0648-0369.

Signature of Program Official

Date

Signature of NOAA Paperwork Clearance Officer

Date

OIRA

Date

OMB Review of Individual Instruments

NOAA will submit each individual instrument for OMB review. OIRA will inform the agency when each instrument is cleared, after which the agency may use OMB number 0648-0369. The information provided along with each instrument must address the following items:

1. The potential respondent universe and any sampling or other respondent selection method to be used and the expected response rate.
2. The collection procedures, including the statistical methodology for stratification and sample selection, the estimation procedure, the degree of accuracy needed for the intended purpose, expected dates of survey implementation, and any unusual problems requiring specialized sampling procedures.
3. The methods used to maximize response rates address non-response. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses.
4. How the survey instrument was developed, including the steps taken to validate the questionnaire design.
5. The reporting and use of the results of the survey.
6. Contact information for agency coordinator and principle investigator.
7. Estimated burden and number of respondents.

The agency must submit annually response rates for all the surveys conducted and the formula used to calculate these response rates.

Responses to Supplemental Questions for PRA Clearance OMB Review of Individual Instruments

NOAA will submit each individual instrument for OMB review. OIRA will inform the agency when each instrument is cleared, after which the agency may use OMB number 0648-0369. The information provided along with each instrument must address the following items:

1. The potential respondent universe and any sampling or other respondent selection method to be used and the expected response rate.

Potential Respondent Universe

The population of interest for this survey is all active commercial fishing vessels holding a limited entry permit with a trawl endorsement. Active fishing vessels are defined as having at least \$1,000 of West Coast (Washington, Oregon, and California) landings during 2003. Vessels with less than \$1,000 landings were considered to have too low of level of activity to provide useful cost earnings data. Fishticket data obtained through the PacFIN (Pacific Coast Fisheries Information Network) system indicates that there were 218 vessels in the population of interest.

Sampling and Other Respondent Selection Methods

This survey will be performed on a census of the 218 vessels in the population of interest. That is, there will be no sampling to determine which vessels in the population of interest receive the survey.

Expected Response Rate

The only recent effort to collect survey information from the population of interest was the National Employment Survey. This national survey collected employment information from commercial vessel owners via a mail questionnaire. This survey was sent to all 218 members of the west coast limited entry trawl fleet. The response rate for this mail survey among the west coast limited entry trawl fleet was 42%.

In contrast to the National Employment Survey, this cost earnings survey of the limited entry trawl fleet will be conducted via in-person interviews. In-person surveys typically yield substantially higher response rates than mail surveys. Repeated mail and telephone follow-ups will be attempted with non-respondents in order to further increase the response rate. Because of the use of in-person interviews and extensive follow up with non-respondents, a response rate of 65% is expected.

2. Data collection procedures, including the statistical methodology for stratification and sample selection, the estimation procedure, the degree of accuracy needed for the intended purpose, expected dates of survey implementation, and any unusual problems requiring specialized sampling procedures.

Stratification and Sample Selection

The survey population is all commercial fishing vessels which (i) had a limited entry permit with a trawl endorsement and (ii) had at least \$1,000 worth of landings on the west coast (Washington, Oregon, and California) during 2003. Since a census of the 218 vessels in the population of interest is being surveyed, there are no sample design and selection issues. All 218 vessels in the population will receive the survey.

Desired Degree of Accuracy and Response Rate

Within the population of 218 vessels, a representative sample of vessels from both the 83 vessels participating in the buyback program implemented during 2003 by NOAA Fisheries and the 135 vessels not participating in the buyback program is desired. By reducing the number of vessels and permits endorsed for the operation of groundfish trawl gear, the buyback program sought to increase productivity in the groundfish fishery, help financially stabilize the fishery, and conserve and manage fish. The program also involved fishing capacity reduction in the California, Oregon, and Washington fisheries for crab and shrimp. Fishing activity by vessels and permits accepted retired through the buyback program ended in December 2003. Vessels participating in the program must be sold, scrapped, or converted to nonfishing purposes.

The desired degree of accuracy, and corresponding desired response rate, depends upon the application for which the data is being used. A basic application of the survey data will be the inference of population mean values from the observed sample mean values. The following table shows the number of responses (and corresponding response rate) needed to get a response sample mean within 10%, 15%, and 25% of the population mean at the 95% confidence level. In this calculation, revenues associated with West Coast landings (which are known) are used as a proxy for revenues from other sources and for expenditures (which are not known and are the focus of this survey).

Group	N Population	N 10%	N 15%	N 25%	Response Rate 10%	Response Rate 15%	Response Rate 25%
Non-Buyback	135	79	52	25	58%	38%	18%
Buyback	83	52	36	18	63%	43%	21%

As shown in the accompanying table, having a sample mean within 15% of the population mean at the 95% confidence level requires a response rate of 38% from non-buyback vessels and 43% from vessels participating in the buyback program. At least three reasons can be identified for desiring higher response rates than those needed to support inference of population means from sample means. First, data from this survey will be used to develop a variety of economic models covering applications such as fleet efficiency and fishery participation. In these applications, error will arise not only from the representativeness of data used for model development, but also from model specification and estimation. Since it is not possible to completely avoid specification and estimation error in model development, there is good reason to desire a higher response rate and higher degree of accuracy in the data collection process. Second, future applications of the data may require further disaggregating the population into smaller groups according to factors such as state of operation or species targeted. Identification of all such future disaggregated data needs is not possible at the present time. A higher response rate and higher degree of accuracy in the current data collection process will facilitate such future

population disaggregation. Third, the size of the limited entry trawl fleet is likely to decrease in future years through fleet consolidation. A higher response rate to the current survey will help insure a sufficient number of responses are available for panel data analysis of vessels remaining in the fleet. Given these considerations, response rates of at least 60% are deemed highly desirable, even though response rates of about 40% will support the needs of basic statistical inference at the present time.

Survey Fielding

The Pacific States Marine Fisheries Commission (PSMFC) will field the survey. Using the contact information described above, the PSMFC will send a letter to all 218 vessel owners describing the survey and its purpose. Enclosed with the letter will be a copy of the questionnaire. This will provide survey recipients with an opportunity to (i) see first-hand the data being collected by the survey prior to in-person interviews and (ii) collect the requested data prior to the in-person interview. About one week after the letter/questionnaire mailing, PSMFC will begin making telephone calls to schedule in-person interviews with survey recipients for data collection. During the following three weeks, at least five additional attempts will be made to contact each member of the survey population until an interview date is scheduled.

For purposes of survey fielding, information on the vessel owner and mailing address will be taken from federal permit and registration files.

Expected Dates of Survey Implementation

The limited entry trawl fleet is most active during the months between June and September. However, seasonal patterns of activity vary by vessel, depending upon the species targeted most frequently. For example, some limited entry trawlers earn more revenue from crab than groundfish, and crab harvesting peaks in December and January. The target period for survey fielding is May through July 2005.

3. The methods used to maximize response rates and address non-response. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses.

Methods Used To Maximize Response Rates

A number of methods have been used to maximize survey response rate. First, the survey is short. This survey is about one-half the length of the 1999 Limited Entry Trawl Cost Earnings Survey. Second, respondents are only asked to provide information about major cost and earnings categories, thus avoiding what may seem to survey respondents like unnecessary detail. Third, data will be collected through in-person interviews, which typically have higher response rates than mail surveys. Conversations with owners of limited entry trawl vessels have indicated that in-person interviews would be more likely to receive a response than a mail survey. Fourth, there will be extensive follow-up telephone calls and mailings after the initial letter/questionnaire mailing in order to schedule in-person interviews and obtain responses. These follow-up telephone calls will be distributed among weekend/weekday and day/evening time periods to maximize the likelihood of reaching the contact person. About one week after the questionnaire is mailed to all members of the survey population, attempts to schedule in-person interview dates

by telephone will begin. Up to six attempts to schedule an interview will be made for each member of the survey population.

Addressing Non-Response

A considerable amount of information is currently available about vessel characteristics and landings for the population of interest. This information will be used to compare the population with survey respondents, and to make any adjustments for systematic bias in survey response.

Available information on vessel characteristics includes vessel length, weight, and horsepower. Information on vessel length is available for almost all vessels. Information on vessel weight and horsepower is available on most, but not all, vessels.

PacFIN provides vessel level information on West Coast (Washington, Oregon, and California) landings by date, species, and port) for all vessels in the survey population. As a result, it is possible to compare respondents and non-respondents with regard to seasonal patterns, species landed, and location of landings. In addition, some information is available from AKFIN (Alaska Fisheries Information Network) regarding landings in Alaska by population members. This information will be used to compare the activities of respondents and non-respondents in Alaskan waters. This information is important, as some members of the population are believed to earn considerable revenue in Alaskan waters. Available information on Alaska landings includes (i) whether each vessel had any landings in Alaska and (ii) whether revenue from landings in Alaska was greater or smaller than revenue from landings in Washington, Oregon, and California.

Adequacy of Accuracy and Reliability of Information for Intended Uses

NOAA Fisheries needs to measure the economic performance of west coast commercial fisheries in order to meet legal and regulatory requirements, support fisheries management decision making, and undertake economic research. Currently available cost earnings data is very limited and does not meet these needs. The Northwest Fisheries Science Center's Cost Earnings Program will collect the additional data that is needed to construct key economic performance measures such as profitability, capacity utilization, efficiency, productivity, and economic impacts. The data gathered and performance measures constructed will be used to address a wide range of issues; these issues include (but are not limited to) the effect of the recent buyback program, the effect of alternative ITQ programs, and predicting fishery participation under alternative regulatory regimes.

While the data will be used to comply with legal and regulatory requirements, these requirements do not specify a level of data accuracy. Minimum target response sizes for each population stratum are based on the objective of having a sample mean within 15% of the population mean at the 95% confidence level. It is believed that this provides a sufficient level of precision for inference of population means from sample means. As explained in the response to question 2, even greater precision is highly desirable for other anticipated applications of the data

4. How the survey instrument was developed, including the steps taken to validate the questionnaire design.

Survey development began with the formulation of the Cost Earnings Program Plan. This plan outlines the reasons for collecting cost earnings data, identifies the population(s) of interest among west coast vessel owners, and prioritizes data needs. Based on this long-term plan, objectives for this survey and survey content were developed through a series of meetings by representatives of the Northwest Fisheries Science Center (NWC), Northwest Regional Office (NWR), Southwest Fisheries Science Center (SWC), and Pacific States Marine Fisheries Commission (PSMFC). These meetings identified key objectives as collecting data which could be used to measure fisheries profitability, economic impacts, efficiency, and economic benefits of regulatory measures. The academic literature, both within and outside of fisheries, was reviewed in order to determine the data requirements of models which would likely be used to measure fisheries profitability, economic impacts, efficiency, and economic benefits of regulatory measures.

This process allowed prioritization of data needs and choice of survey content. After survey content was determined, a draft questionnaire was prepared. This draft questionnaire was discussed with members of the limited entry trawl fleet by PSMFC personnel. In addition, NOAA personnel provided a presentation on survey content and timing to the Pacific Fisheries Management Council Groundfish Advisory Panel (a group of fishing industry members including harvesters and processors) and the Pacific Fisheries Management Council Scientific and Statistical Committee (a group responsible for reviewing the methodology used in scientific and statistical studies). Comments received through these discussions and presentations improved questionnaire content and format.

5. The reporting and use of the results of the survey.

Use of Survey Results

NOAA Fisheries needs to measure the economic performance of west coast commercial fisheries in order to meet legal and regulatory requirements, support fisheries management decision making, and undertake economic research. Currently available cost earnings data is very limited and does not meet these needs. The Northwest Fisheries Science Center's Cost Earnings Program will collect the additional data that is needed to construct key economic performance measures such as profitability, capacity utilization, efficiency, productivity, and economic impacts. The data gathered and performance measures constructed will be used to address a wide range of issues; these issues include (but are not limited to) the effect of the recent buyback program, the effect of alternative ITQ programs, and predicting fishery participation under alternative regulatory regimes.

The vessel buyback program was implemented in 2003 by NOAA Fisheries. By reducing the number of vessels and permits endorsed for the operation of groundfish trawl gear, the buyback program sought to increase productivity in the groundfish fishery, help financially stabilize the fishery, and conserve and manage fish. The program also involved fishing capacity reduction in the California, Oregon, and Washington fisheries for crab and shrimp. The buyback program accepted bids from 92 fishing vessels. Fishing activity by vessels and permits accepted retired through the buyback program ended in December 2003. Vessels participating in the program must be sold, scrapped, or converted to nonfishing purposes.

The Pacific Fisheries Management Council formed an Ad Hoc Trawl Individual Quota (IQ) Committee in September 2003 to investigate individual fishing quotas and individual processor quotas. This committee provided its first report at the November 2003 PFMC meeting, after which the Council adopted a control data of November 6, 2003 for groundfish trawl individual quotas. Data from this survey will be used to provide a base data point on fishery economic performance prior to the buyback program and (possible) implementation of an ITQ program, as well as being used for the ex ante evaluation of the potential economic benefits of an ITQ program.

Reporting of Survey Results

A descriptive summary of results from the survey will be prepared and posted on the PSMFC web site. This summary will include descriptive statistics (such as mean and standard deviation) of the various cost and earnings categories being collected. This descriptive summary will also be distributed to survey respondents via paper mail.

Survey results will be reported over time through a series of studies prepared for fisheries management. It is anticipated that results will also be reported through academic publications, presentations at conferences, and technical guides. All reporting of survey results will conform to data confidentiality requirements.

Information Quality Guidelines and Confidentiality

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the previous paragraphs, the information gathered has utility. NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. In particular, the data collected will be kept confidential as required by section 402(b) of the Magnuson-Stevens and NOAA Administrative Order 216-100, Confidentiality of Fisheries Statistics, and will not be released for public use except in aggregate statistical form without identification as to its source.

The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

6. Contact information for agency coordinator and principle investigator.

Agency Coordinator:

Carl Lian
Northwest Fisheries Science Center
2725 Montlake Boulevard East
Seattle, WA 98112
206-302-2414 (voice)
206-860-6792 (fax)
carl.lian@noaa.gov (email)

Principal Investigator:

Dave Colpo

Pacific States Marine Fisheries Commission

205 SE Spokane Street

Portland, OR 97202

503-595-3100 (voice)

503-595-3232 (fax)

dave_colpo@psmfc.org (email)

7. Estimated burden and number of respondents.

Reviewing the survey, collecting requested data, and the in-person interview is expected to take one hour per respondent. With the expected 65% response rate, a total of 142 responses will be received. As a result, the survey is expected to impose a total of 142 burden hours on the west coast limited entry trawl fleet.

CONTACT INFORMATION FOR SURVEY RESPONDENT

1. Name: _____ 2. Email: _____

3. Date (Month/Day/Year): _____ 4. Telephone: (____) _____

5. Mailing Address (Street, City, State, and Zip Code): _____
_____**VESSEL OWNERSHIP AND CHARACTERISTICS**

6. Please review the following information about the vessel's owner. If the information on record is correct, please place a check mark in the Corrections column. If any item is incorrect, please write the correct information in the Corrections column.

Item	Information on Record	Corrections
a. Owner's Name	<i>Charles Smith</i>	
b. Owner's Address	<i>333 1st Street, Waldport, OR 97005</i>	

7. Please verify the following information on record about your vessel. If the information on record is correct, please place a check mark in the Corrections column. If the information on record is incorrect, please provide the correct information in the Corrections column.

Item	Information on Record	Corrections
a. USCG Vessel ID	<i>33221843</i>	
b. State Vessel ID	<i>OR33214</i>	
c. Home Port	<i>Newport, OR</i>	
d. Weight (gross tons)	<i>21</i>	
e. Length (feet)	<i>75</i>	
f. Fuel Capacity	<i>300</i>	
g. Engine Make and Model	<i>No Information on Record</i>	

8. For each of the following activities, please provide this vessel's average fuel consumption and speed. If this vessel does not engage in an activity, please write "NA" in the Fuel Consumption and Speed columns for that activity

Activity	Fuel Consumption (Gallons Per Hour)	Speed (Knots Per Hour)
a. Trawling		
b. Shrimping		
c. Crabbing		
d. Trolling		
e. Steaming (fully loaded with fish)		
f. Steaming (empty)		

REVENUE AND EXPENDITURES

Questions 9 and 10 collect information about this vessel's revenue sources and expenditures while operating in all fisheries (groundfish, crab, shrimp, salmon, etc.).

9. Information on revenue sources outside of landings in Washington, Oregon, and California is important for understanding the fishing opportunities of the limited entry trawl fleet. We can not obtain this information from existing data sources. For each of the revenue sources listed below, please indicate the revenue earned during calendar year 2003.

Revenue Source	2003 Revenue (\$)
a. Landings in Alaska	
b. Landings in Hawaii	
c. Landings outside of the United States	
d. West Coast at-sea deliveries	
e. Chartering/Tendering	
f. Sale or leasing out of permits associated with this vessel.	
g. Other (please specify)_____	

10. For each expense category below, please provide total annual expenditures during calendar year 2003. If you do not have separate data on expenditures for captain (part a) and crew (part b), please put a "NA" for 2003 Captain expenditures in part a and put the combined Captain and Crew expenditures in part b.

Expense Category	2003 Expenditure (\$)
a. Captain (including bonuses and payroll taxes)	
b. Crew (including bonuses and payroll taxes)	
c. Fuel and Lube	
d. Food and crew provisions.	
e. Ice	
f. Bait	
g. Purchase or lease of permits	
h. Repair, maintenance, and improvements for vessel, gear, and equipment. Please include expenditures on maintaining this vessel, expenditures on repairing mechanical and physical problems with the vessel and equipment, expenditures on new equipment, and expenditures on improvements to existing	

If you reported expenditures of over \$1,000 on repair, maintenance, and improvements for vessel, gear, and equipment in question 10h, please answer question 11. If you reported expenditures of less than \$1,000 in question 10h, please write "NA" in the response for question 11 and proceed to question 12.

11. Please describe the major causes of expenditures on repair, maintenance, and improvements for vessel, gear, and equipment during 2003. _____

CREW COMPENSATION

Questions 12 through 15 collect information about crew payments when this vessel is participating in the West Coast (Washington, Oregon, and California) groundfish fishery.

12. Does this vessel use a crew share system to pay its crew when operating in West Coast groundfish fisheries?

- a. Yes (proceed to question 8).
- b. No (proceed to the Survey Conclusion after question 10).

13. Which of the following expenses were deducted from total revenue before calculating the crew share when this vessel operated in West Coast groundfish fisheries?

	Deducted Before Calculating Crew Share?	
a. Fuel and lube.	Yes	No
b. Food and other crew provisions.	Yes	No
c. Landing taxes.	Yes	No
d. Other. Please specify _____.	Yes	No

14. On trips when the vessel owner serves as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 8) going to the vessel/captain and crew. If the vessel owner does not serve as captain on any trips, please mark "NA".

Vessel/captain share _____% Crew share _____%

15. On trips when the vessel owner does not serve as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 5) going to the vessel, captain, and crew. If the vessel owner always serves as captain, please mark "NA"

Vessel share _____% Captain share _____% Crew share _____%

SURVEY CONCLUSION

Thank you for participating in this survey. The information you have provided will improve studies of the economic performance and economic impact of the West Coast limited entry trawl fishery.

PAPERWORK REDUCTION ACT STATEMENT: This survey requests information on fishing costs in the West Coast limited entry trawl fishery. This information will be used to assess a wide range of management issues, including (but not limited to) the effect of the recent buyback program and assessments of the effect of alternative ITQ programs. Public reporting burden for this information collection, including time for gathering data needed, and completing the survey with an interviewer is estimated to average **one hour** per response.